



JPW 1732

PATENT
Attorney Docket No.: FIVER-00104

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Weiti Wu et al.

Serial No.: 10/015,736

Filed: December 12, 2001

For: **ALL FIBER GAIN FLATTENING
OPTICAL FILTER**

) Group Art Unit: 1732

) Examiner: Mathieu D. Vargot

) **TRANSMITTAL LETTER**

) 162 N. Wolfe Road
) Sunnyvale, CA 94086
) (408) 530-9700

) Customer No. 28960

Assistant Commissioner for Patents
P.O. Box 1450
Washington, D.C. 20231

Sir:

Enclosed please find an Supplemental Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Respectfully submitted,
HAVERSTOCK & OWENS LLP

Dated: May 11, 2004

By: Jonathan O. Owens
Jonathan O. Owens
Reg. No.: 37,902

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP
Date: 5/11/04 By: [Signature]



Attorney Docket No.: PATENT
FIVER-00104

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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| In re Application of: |) | Group Art: 1732 |
| Weiti Wu et al. |) | Examiner: Mathieu D. Vargot |
| Serial No.: 10/015,736 |) | <u>CERTIFICATION FOR</u> |
| Filed: December 12, 2001 |) | <u>SUPPLEMENTAL INFORMATION</u> |
| For: ALL FIBER GAIN FLATTENING |) | <u>DISCLOSURE STATEMENT UNDER 37</u> |
| OPTICAL FILTER |) | <u>CFR § 1.97(e)</u> |
| |) | 162 North Wolfe Road |
| |) | Sunnyvale, CA 94086 |
| |) | (408) 530-9700 |

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This certification is being made for the Information Disclosure Statement accompanying this certification.

Certification

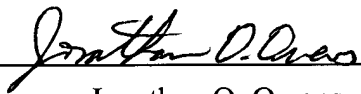
I hereby certify that the attached three (3) references contained in this information disclosure statement were cited within an official action from a foreign patent office mailed on March 11, 2004. **Accordingly, the references contained in the supplemental information disclosure statement were cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(1).**

Identification of Person Making Certification

The person making this certification is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted,
HAVERSTOCK & OWENS LLP

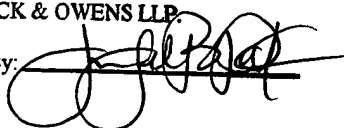
Dated: May 11, 2004

By: 
Jonathan O. Owens
Reg. No.: 37,902

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP
Date: 5/11/04 By: 



PATENT
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| Weitu Wu et al. |) | Examiner: Mathieu D. Vargot |
| Serial No.: 10/015,736 |) | <u>SUPPLEMENTAL INFORMATION</u> |
| Filed: December 12, 2001 |) | <u>DISCLOSURE STATEMENT</u> |
| For: ALL FIBER GAIN FLATTENING OPTICAL FILTER |) | 162 N. Wolfe Road Sunnyvale, CA 94086 (408) 530-9700 |

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

- Japan Patent No. 02-140706;
- Great Britain Patent No. 2,183,866; and
- F. Shehadeh et al., "Gain-Equalized, Eight Wavelength WDM Optical Add-Drop Multiplexer with an 8-dB Dynamic Range" IEEE Photonics Technology Letters, vol. 7, no. 9, September 1, 1995, pages 1075-1077, IEEE Inc., New York, New York.

This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,
HAVERSTOCK & OWENS LLP

Dated: May 11, 2004

By: Jonathan O. Owens
Jonathan O. Owens
Reg. No.: 37, 902

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

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FORM PTO-1449
(Modified)U.S. Department of Commerce
Patent and Trademark Office

Attorney Docket No.: FIVER -00104

Serial No.: 10/015,736

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use New & AF Sheets If Necessary)

Applicant: Weitu Wu et al.

(37 CFR § 1.98(b))

Filing Date: December 12, 2001

Group Art Unit: 1732

U.S. PATENT DOCUMENTS

| Examiner Initials | | Serial / Patent Number | Issue Date | Applicant / Patentee | Class | Subclass | Filing Date |
|-------------------|----|------------------------|------------|----------------------|-------|----------|-------------|
| | AA | | | | | | |
| | AB | | | | | | |
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FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

| | | Document Number | Publication Date | Country / Patent Office | Class | Subclass | Translation | |
|--|----|-----------------|------------------|-------------------------|-------|----------|-------------|----|
| | | | | | | | Yes | No |
| | AK | 02-140706 | 05/30/90 | Japan | G02B | 6/00 | | X |
| | AL | 2183866 | 06/10/87 | Great Britain | G02B | 6/02 | X | |
| | AM | | | | | | | |
| | AN | | | | | | | |
| | AO | | | | | | | |

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

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| | AP | F. Shehadeh et al., "Gain-Equalized, Eight Wavelength WDM Optical Add-Drop Multiplexer with an 8-dB Dynamic Range" IEEE Photonics Technology Letters, vol. 7, no. 9, September 1, 1995, pages 1075-1077, IEEE Inc., New York, New York. |
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Examiner:

Date Considered:

EXAMINER:

Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.